

A sepia-toned photograph of the Space Shuttle Columbia being launched from the launch pad. The shuttle is ascending vertically, with a large plume of fire and smoke at its base. The launch pad's service structure is visible to the left of the shuttle.

Strategic Implementation and Performance Plan

NASA Office of Inspector General

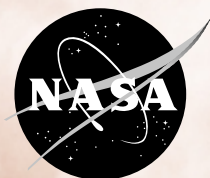


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Introduction

We are a multi-discipline, professional organization chartered by Congress to promote economy and efficiency and prevent crime, fraud, waste, abuse, and mismanagement in NASA-funded programs and activities. We are committed to protecting Government personnel and resources by providing objective and balanced audits, investigations, inspections, and process reviews.

NASA faces difficult resource allocation decisions as the number of competing research, technology, and exploratory mission opportunities increase. Further, threats to NASA's infrastructure, including information resources, and the risks associated with maintaining oversight of outsourced activities create additional challenges. Our role is to exercise leadership in this environment by providing practical, cost-effective recommendations arising from our audits, evaluations, and investigations.

The Office of Inspector General (OIG) Strategic Implementation and Performance Plan (the Plan) describes our mission, vision, and strategic goals. The Plan also establishes the performance criteria and measures by which we will assess our accomplishments.

This Plan is an evolving document subject to reevaluation and modification to improve our service to NASA and, ultimately, the public. We will update the Plan, as needed, to assure its continued relevance.

Strategic Approach

The NASA OIG will help NASA to meet its challenges and protect the public trust by:

- Focusing our resources and efforts on high value-added areas for our customers.
- Applying new skills, methods, and technologies to improve the quality and timeliness of our work and products.
- Providing fair, objective, and independent reports and other services that assist decision-makers in their evaluations of NASA's programs and operations.

Outcomes

The NASA OIG will seek to:

- Promote and support management actions to improve NASA programs, policies, procedures, and operations.
- Deter crime, fraud, waste, abuse, and mismanagement.
- Enhance productivity and product quality within the OIG.
- Increase recognition of the value and use of OIG products, services, and capabilities.

OIG Mission

The OIG is an independent office created by the Inspector General Act of 1978, as amended (Inspector General Act, P.L. 95-452). The OIG will:

- Provide policy direction for audits, investigations, inspections, and assessments.
- Conduct and supervise independent and objective audits, investigations, inspections, and other reviews.
- Promote economy, efficiency, and effectiveness.
- Prevent and detect crime, fraud, waste, abuse, and mismanagement.

- Recommend improvements to legislation and regulations.
- Keep Congress, the Administration, the NASA Administrator, and the public informed of fraud and other serious problems, abuses, and deficiencies related to NASA programs and operations.

OIG Values

The NASA OIG places great value on:

- Products and services that are professional, timely, accurate, relevant, and useful.
- Independence, integrity, creativity, and objectivity in our work.
- Cooperation and effective communication among ourselves and with others.
- A service-oriented attitude toward our customers and key decision-makers.
- A work environment that provides for professional growth and diversity.

Organization

The NASA OIG consists of the Inspector General, three program offices, and three support components. The program offices are the Offices of Audits; Criminal Investigations; and Inspections, Administrative Investigations, and Assessments. Each of the program offices is administered by an Assistant Inspector General. The three support components are the Executive Officer, the Counsel to the Inspector General, and the Resources Management Division. To maximize resources and respond efficiently to evolving requirements, the OIG effectively uses matrixed teams to perform assignments.

Office of Audits

The Office of Audits is responsible for all audits of NASA's programs and operations including oversight of audits performed under contract or by other Federal agencies. The work performed includes a full range of professional audit and review services in response to statutory and regulatory requirements; the needs of congressional and Agency leadership; and our assessment of high-risk areas. Emphasis is placed on issues involving safety, information technology, procurement, fiscal operations, NASA management, and the environment.

Office of Criminal Investigations

The Office of Criminal Investigations (OCI) conducts criminal investigations in which NASA is a victim. NASA's vulnerability to cyber attacks requires an investigative emphasis on computer and network intrusions. The OCI also investigates false claims, false statements, conspiracy, theft, mail fraud, violations of Federal laws, such as the Procurement Integrity Act and the Anti-Kickback Act. As part of its mission to conduct criminal investigations, the OCI reviews acts of noncompliance with NASA Policy Directives, the Federal Acquisition Regulation, and the Code of Federal Regulations.

Office of Inspections, Administrative Investigations, and Assessments

The Office of Inspections, Administrative Investigations, and Assessments (IAIA) provides independent and objective inspections and assessments of the effectiveness, efficiency, economy, and integrity of NASA's programs and operations. The unit also conducts administrative investigations of noncriminal matters. The IAIA staff provides special emphasis on NASA information technology security and offers technical support to NASA management and OIG staff in the fields of procurement, science and technology, and human resources.

Executive Officer

The Executive Officer is the single point of contact for all correspondence and communication with congressional offices. In addition, the Executive Officer is charged with forging partnerships with educational institutions and students in order to (1) increase the hiring pipeline of talented and motivated computer crimes and information technology professionals and (2) educate young people about the pitfalls and consequences of delinquent use of information technology. The Executive Officer also performs other special projects for the Inspector General.

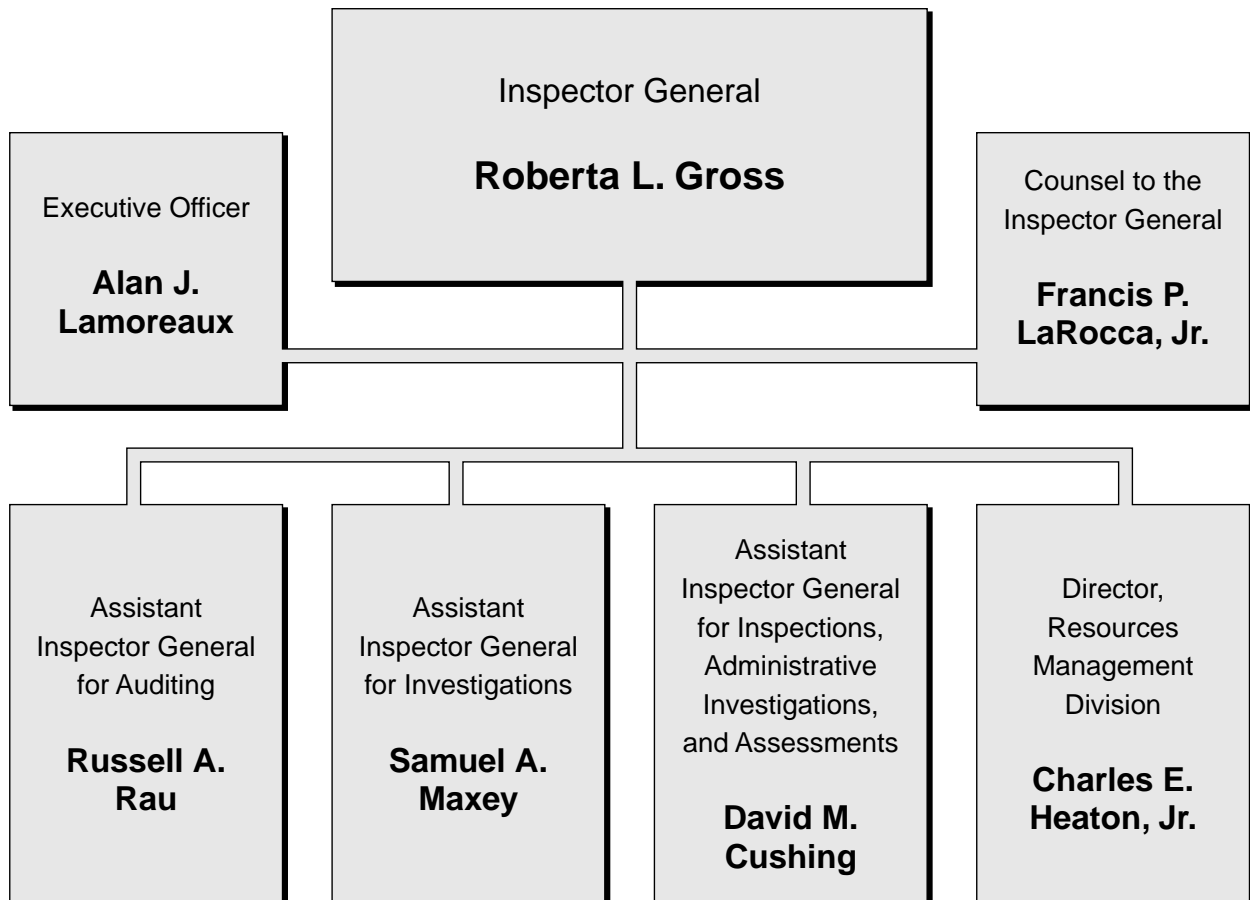
Counsel to the Inspector General

The Counsel to the Inspector General is the central official for the review and coordination of all legislation, regulations, Freedom of Information Act requests, and legal matters requiring OIG attention. The OIG legal staff provides advice and assistance to senior OIG management, staff auditors, inspectors, and investigators, and serves as counsel in administrative litigation in which the OIG is a party.

Resources Management Division

The Resources Management Division supports administrative functions of the OIG including budget formulation and execution, personnel, training, travel, facilities, logistics, and information technology systems.

OLG Organization



OIG Strategic Relationships and Customers

I The American Citizen, the President, and Congress

Our efforts serve the American people and their elected representatives. Paramount among our responsibilities to them is to ensure that laws are enforced, that reasonable rules govern NASA processes, that NASA operations and activities are effective, and that public funds are expended prudently.

I NASA Management, Employees, and Contractors

Within the professional constraints of our work, our aim is to work cooperatively with NASA management, employees, contractor management, and contract employees. Our best sources of information and the principal agents for improvement include the NASA community.

I Other Key External Relationships

Our key external relationships include: the General Accounting Office, the Department of Justice, other Federal law enforcement organizations, state and local law enforcement authorities, the Office of Management and Budget, the Defense Contract Management Agency, the Defense Contract Audit Agency, Department of Defense military investigative units, the Department of Defense Computer Forensics Laboratory, the Central Intelligence Agency, the National Security Agency, and other Federal Offices of Inspector General.

Challenges

To meet the challenges imposed by resource-constraints for our organization, we will exercise the collective best efforts of our leadership and dedicated staff. We will continually seek ways to streamline operations and increase productivity. We will keep abreast of regulatory, technological, and other changes that impact our work by providing training and relevant job assignments to our staff.

Strategic Goals

Our Plan establishes the following strategic goals:

- Provide cost-effective, value-added products and services to decision-makers for guidance in improving NASA programs, procedures, and organizations;
- Maintain a skilled, diverse workforce; and
- Maintain a positive, challenging, and rewarding work environment.

We have established specific performance goals and the measures necessary to achieve our strategic goals.

STRATEGIC GOAL 1:

Exercise Leadership to Provide Cost Effective, Value-Added Products and Services to Decision-Makers for Guidance in Improving NASA Programs, Procedures, and Operations

Strategic Objectives:

- Focus resources on major areas and issues to identify preventive measures as well as operational, financial, and technical improvements
- Produce timely, high-quality reports and investigations that result in significant process improvements, prosecutions, and recoveries
- Identify and apply new technologies and approaches to audits, investigations and reviews
- Establish quality standards and implement effective control systems

Annual Performance Goal: Provide Value-Added Products and Services

Criteria for Achieving Annual Performance Goal	Definition	Performance Measures*
Leadership and Inventiveness	We believe leadership is paramount. Our managers will lead the effort to develop and apply innovative techniques and organizational processes that complement internal and Agency goals. We will foster an environment of creativity that encourages employees to test new methods and to adopt improved processes.	<ul style="list-style-type: none"> ■ Pursue and apply innovations that enhance the ability of the Agency to perform its missions (e.g., develop and disseminate information security tools, program/project guides, and hard-drive cleaning procedure guides).
Timely Products	We will deliver key information to management and the decision-makers in sufficient time to use in making informed decisions.	<ul style="list-style-type: none"> ■ Reduce the average time of report and information delivery to our clients. ■ Utilize non-traditional reports (e.g., quick-pitch, pamphlets, newsletters and Internet-based products).
Appropriate Response	We will assure that we readily reply or react to inquiries and requests for information.	<ul style="list-style-type: none"> ■ Reduce the time to respond to NASA, Congressional, and general public concerns, inquiries, and requests for information within the scope of applicable laws, regulations, and resources.
Prioritization	We will provide an appropriate planning process that assures we apply our resources to important, timely issues and challenges.	<ul style="list-style-type: none"> ■ Involvement of Senior NASA Management in the planning process and production of a timely and relevant annual plan. ■ Involvement of OIG staff in planning process. ■ Perform a qualitative self-assessment to determine whether we successfully accomplished goals.
Productiveness	We will constantly strive to improve the quality, efficiency, and effectiveness of our products and services.	<ul style="list-style-type: none"> ■ Reduce annually the total cycle time to complete work assignments. ■ Apply technical insight to NASA programs to suggest improvements.

* Each OIG component established specific performance measures applicable to their respective discipline.

(continued)

STRATEGIC GOAL 1 (continued)

Criteria for Achieving Annual Performance Goal	Definition	Performance Measures*
Quality Processes	We will continuously review and reengineer our procedures and processes to ensure our products and services are accurate, objective, complete, useful, and timely.	<ul style="list-style-type: none"> ■ Develop and implement: <ul style="list-style-type: none"> – Standard policies and procedures that conform with Government and professional standards and President's Council for Integrity and Efficiency (PCIE) standards. – Streamlined administrative procedures. – Internal reporting requirements for tracking resource status, acquisition, utilization, and product quality. ■ Perform quality and management control reviews to assess whether our work and products meet established standards.
Follow-up	We will be vigilant to assure that our recommendations and management's commitment to implement them are achieved.	<ul style="list-style-type: none"> ■ Develop and implement efficient follow-up procedures and tracking systems to ensure corrective actions are addressed within established timeframes. ■ Ensure management has established appropriate tracking mechanisms.
Leverage and Promotion of Multiplier Impacts	We will leverage the use of audit, investigative, inspection, evaluation, and consulting services on matters of common interest to NASA, the Congress, and the Federal community to enhance the overall quality of results.	<ul style="list-style-type: none"> ■ Emphasize joint projects among our organizational components, NASA management, and other OIG and Federal organizations to effectively accomplish work. ■ Post best practices and lessons learned on the NASA OIG Internet Web page and other media.
Prevention	We will use our products and services to promote recognition of the indicators of fraud, waste, abuse and mismanagement.	<ul style="list-style-type: none"> ■ Provide briefings to Agency management, staff, and other concerned parties to heighten integrity awareness and fraud deterrence.
Detection	We will remain vigilant and institute processes to effectively discover crime, fraud, waste, abuse, and mismanagement.	<ul style="list-style-type: none"> ■ Identify operational and financial weaknesses, alert the Agency and recommend improvements.

* Each OIG component established specific performance measures applicable to their respective discipline.

STRATEGIC GOAL 2:
Maintain a Skilled, Diverse Workforce

Strategic Objectives:

- Recruit, hire, develop, and retain employees from a wide range of backgrounds who exhibit strong skills, positive attitudes, and high personal and professional values
- Maintain and fund an effective staff training and employee development system

Annual Performance Goal: Attract and Retain a Skilled, Diversified, and Committed Staff

Criteria for Achieving Annual Performance Goal	Definition	Performance Measures*
Vigorous Recruitment	We will aggressively seek out the most qualified, experienced, motivated and diverse NASA OIG work team possible.	<ul style="list-style-type: none">■ Maintain a recruiting process that encourages innovative ways to seek as many qualified candidates as possible to complement a diverse, professional team environment.
Professional Standards	We will maintain required professional and occupational standards, and we will establish and work under the highest standards of fairness, honesty, dedication, and integrity.	<ul style="list-style-type: none">■ Ensure that all professional staff educational and training credentials satisfy Government, PO/E, and professional standards.■ Ensure our management leads by example with regard to standards of fairness, honesty, dedication, and integrity.
Staff Development	We will plan for and provide our OIG staff with opportunities to maintain and improve their knowledge, skills, and abilities through work assignments, education, training, and exposure to new ideas and challenges.	<ul style="list-style-type: none">■ Periodically survey all employees on assignment interest and developmental needs.■ Ensure that all employees complete and/or update annually an Individual Development Plan.

* Each OIG component established specific performance measures applicable to their respective discipline.

STRATEGIC GOAL 3:

Maintain a Positive, Challenging, and Rewarding Work Environment

Strategic Objectives:

- Provide opportunities for varying assignments, responsibilities, and working relationships
- Streamline and simplify operations and procedures
- Establish effective, open lines of communication

Annual Performance Goal: Administer an Effective and Efficient Operation that Maximizes the OIG Staff Ability to Perform their Work Functions

Criteria for Achieving Annual Performance Goal	Definition	Performance Measures*
Staff Opportunities	We will all assure members of the OIG staff the opportunity to succeed and advance. We will permit people to take acceptable risks, to learn from experience, and to attain personal growth.	<ul style="list-style-type: none"> ■ Develop and implement prerequisites (experience, training, inter-disciplinary assignments, headquarters rotation) as part of the foundation for fostering career enhancing opportunities. ■ Develop and implement Performance Plans for all OIG positions. ■ Maintain an awards program that recognizes employees whose work contributes to the successful accomplishment of the NASA OIG mission.
Continuous Improvement	We will simplify or re-engineer our internal processes to better achieve our mission.	<ul style="list-style-type: none"> ■ Review internal operational and administrative processes to determine those processes eligible for re-engineering initiatives. ■ Benchmark and adapt best practices from other NASA OIG elements or similar Federal OIG organizations. ■ Plan and initiate program evaluation reviews to determine whether the OIG is meeting the established goals and objectives. ■ Review and update the OIG's Strategic Implementation and Performance Plan to consider both evolving and organizational issues.
Outreach Initiatives	We will actively seek and communicate information among OIG components, NASA, our customers, and concerned parties through a variety of media and forums.	<ul style="list-style-type: none"> ■ Maintain an Issue Area Coordination Process that actively seeks suggestions for consideration in our annual workplan. ■ For each annual workplan, we will: <ul style="list-style-type: none"> – Meet periodically with NASA senior officials at NASA Centers and other field locations to discuss key program issues. – Meet with the Defense Contract Audit Agency and other external organizations to solicit ideas. ■ Conduct joint annual conferences, periodic staff meetings, and videoconferences. ■ Disseminate final reports and information on planned and in-process work assignments on the NASA OIG Internet Web page. ■ Keep current the OIG Intranet that publicizes updates, activity reports, and other employee-related material.

* Each OIG component established specific performance measures applicable to their respective discipline.

Assessment of the External Environment

Multiple factors exist that influence the implementation of NASA's strategic plan, and this plan. Foremost, budget constraints necessitate program choices that impact results. NASA has rescoped many programs, eliminated low-priority efforts, and is placing more reliance on contractors for some activities. The Agency intends to develop efficiencies in its business processes by restructuring, privatizing, commercializing, outsourcing, and issuing performance-based contracts.

Legislation also plays a significant role in the management and oversight of NASA. The Chief Financial Officer's Act, the Government Performance and Results Act increase NASA's accountability to the President, Congress, and the American public, as well as the OIG's responsibility to authenticate the processes used to report accountability.

Key Assumptions

As NASA implements its strategic plan to achieve mission success and improve operations efficiency by using measurable performance indicators, the OIG's role becomes even more essential. The Agency's success depends, to a great extent, on the integrity of the processes, systems, contractors, and workforce it employs. Our independent reviews are crucial to ensure that integrity.

In view of the necessity for economy and efficiency at all levels of Government, OIG resources will be limited. We must continue to explore opportunities where we can work cooperatively and share resources with the Agency, other Offices of Inspector General, and members of the Federal community at large.

The OIG is challenged by an Agency whose hallmark is technology. We must meet this challenge with an innovative, well-trained staff that is equipped with the technological skills and tools necessary to support the success of NASA's mission.

Implementation

The OIG mission strategy is key to the implementation of our plan. The Assistant Inspectors General and the Director, Resources Management Division, will be instrumental in formalizing viable implementation plans for their staffs. It is incumbent on them to define their objectives, detail their applicable sub-objectives and metrics, and identify their resource requirements. An annual work plan will reflect proposed initiatives and priorities that fit the OIG strategy and correlate to Agency programs and challenges.

Personnel, equipment, and other resource requirements needed to implement our plan and achieve our goals and objectives will be incorporated into our budget process. We will ensure that the estimates reflect the requirements.

Performance Evaluation and Reporting

Evaluating progress will be a continuous activity through discussions with employees on their overall performance, through monitoring the status of individual and group assignments, and through consultative reviews and feedback to enhance quality and timeliness. However, each Assistant Inspector General will gather and analyze relevant data and submit a written report to the Inspector General by July 15 each year. That report will describe the progress toward, impediments to, and suggestions for improvements that affect the realization of the goals set forth in this Plan. The individual reports, along with customer feedback, will be used to evaluate procedures and strategies that will adjust our performance goals accordingly.

Appendix

We value comments and recommendations about the OIG and its mission. If you have any comments, or you want further information regarding our Strategic Implementation and Performance Plan, please contact any of the following individuals:

Office of Inspector General	Roberta L. Gross, Inspector General NASA Headquarters ☎ (202) 358-1220 ✉ Roberta.Gross@hq.nasa.gov
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Office of Audits	Russell A. Rau, Assistant Inspector General NASA Headquarters ☎ (202) 358-1232 ✉ Russell.Rau@hq.nasa.gov
Office of Criminal Investigations	Samuel A. Maxey, Assistant Inspector General NASA Headquarters ☎ (202) 358-1233 ✉ smaxey@hq.nasa.gov
	Stephen J. Nesbitt, Director of Operations, Network and Advanced Technologies Protection Office, Computer Crimes Division NASA Headquarters ☎ (202) 358-2576 ✉ snesbitt@hq.nasa.gov
	Charles E. Coe, Director, Media Analysis, Network and Advanced Technologies Protection Office, Computer Crimes Division NASA Headquarters ☎ (202) 358-2573 ✉ ccoe@hq.nasa.gov
Office of Inspections, Administrative Investigations, and Assessments	David M. Cushing, Assistant Inspector General NASA Headquarters ☎ (202) 358-2572 ✉ David.Cushing@hq.nasa.gov
Counsel to the Inspector General	Francis P. LaRocca, Jr. NASA Headquarters ☎ (202) 358-1220 ✉ Francis.LaRocca@hq.nasa.gov
Resources Management Division	Charles E. Heaton, Jr., Director NASA Headquarters ☎ (202) 358-2561 ✉ Charles.Heaton@hq.nasa.gov

The OIG Strategic Implementation and Performance Plan is also available on the World Wide Web at:

<http://www.hq.nasa.gov/office/oig/hq/>

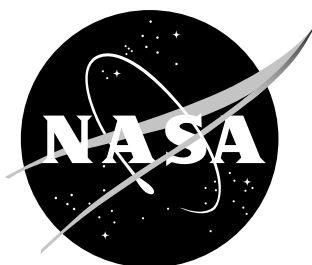
HOTLINE

1-800-424-9183

Toll Free 24-Hour Answering Service

or write to

**NASA Office of Inspector General
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Washington, DC 20026**



I N F O R M A T I O N I S C O N F I D E N T I A L

Report Crime, Fraud, Waste, Abuse

C A L L E R M A Y R E M A I N A N O N Y M O U S

Each caller is encouraged to assist the OIG by providing information on how he or she may be contacted for additional information.



<http://www.hq.nasa.gov/office/oig/hq/>